

Employee Post-Travel Disclosure of Travel Expenses

Date/Time Stamp:

Post-Travel Filing Instructions: Complete this form within 30 days of returning from travel. Submit all forms to the Office of Public Records in 232 Hart Building.

SECRETARY OF THE SENATE

17 SEP -5 PM 3:00

In compliance with Rule 35.2(a) and (c), I make the following disclosures with respect to travel expenses that have been or will be reimbursed/paid for me. I also certify that I have attached:

- ☒ The original *Employee Pre-Travel Authorization* (Form RE-1), **AND**
☒ A copy of the *Private Sponsor Travel Certification Form* with all attachments (itinerary, invitee list, etc.)

Private Sponsor(s) (list all): Aspen Institute

Travel date(s): August 8-10, 2017

Name of accompanying family member (if any): _____

Relationship to Traveler: ☐ Spouse ☐ Child

IF THE COST OF LODGING DID NOT INCREASE DUE TO THE ACCOMPANYING SPOUSE OR DEPENDENT CHILD, ONLY INCLUDE LODGING COSTS IN EMPLOYEE EXPENSES. (Attach additional pages if necessary.)

Expenses for Employee:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input checked="" type="checkbox"/> Good Faith Estimate <input type="checkbox"/> Actual Amount		\$234	\$172.50	191.26 \$191.26

Expenses for Accompanying Spouse or Dependent Child (if applicable):

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input type="checkbox"/> Good Faith Estimate <input type="checkbox"/> Actual Amount				

Provide a description of all meetings and events attended. See Senate Rule 35.2(c)(6). (Attach additional pages if necessary.):

Aspen Institute retreat to discuss implementation of the Every Student Succeeds Act

9/5/17
(Date)

Jennifer Hatfield
(Printed name of traveler)

Jennifer Hatfield
(Signature of traveler)

TO BE COMPLETED BY SUPERVISING MEMBER/OFFICER:

I have made a determination that the expenses set out above in connections with travel described in the *Employee Pre-Travel Authorization* form, are necessary transportation, lodging, and related expenses as defined in Rule 35.

9/5/17
(Date)

Lamar Alexander
(Signature of Supervising Senator/Officer)

June 7, 2017

Dear Senate Colleague,

We are writing to invite you to participate in an upcoming retreat – ***“Planning and Implementation of ESSA: Next Steps for States and Districts”*** – for the Aspen Senior Congressional Education Staff Network from **12:00 PM Tuesday, August 8, 2017 to 1:00 PM Thursday, August 10, 2017** at Wye River Conference Center, located 59 miles from Washington, DC.

At this convening, staffers will hear from state and district leaders on early implementation lessons of the Every Student Succeeds Act. Staffers will understand how states are creating and implementing their ESSA plans, including their theories of action around the design of their accountability systems, their approaches to school improvement, and the development of the indicator on English learners. The convening will also focus on potential roles for Congress and the U.S. Department of Education in monitoring and guidance around ESSA implementation. Finally, the retreat will provide an opportunity for staffers to engage in their own learning and build working relationships with colleagues from different parties and chambers and with leading experts in the field.

We fully comply with the rules that have been enacted by the Senate regarding privately-funded travel. Enclosed you will find all the forms necessary for Ethics rules compliance:

- A detailed agenda listing discussion sessions
- A completed Private Sponsor Travel Certification form
- A list of invited staffers
- A blank Employee Pre-Travel Authorization form

You must complete the Employee Pre-Travel Authorization Form and submit it with the enclosed agenda, list of invited staffers, and Private Sponsor Travel Certification form directly to the Senate Ethics Committee (220 Hart) no later than Monday, July 10, 2017. After receiving the completed travel package, the Ethics Committee will review and issue an approval to you or your sponsoring Member. After the trip, you will need to complete a post-travel form that we will email to you after the retreat.

Attendance is by invitation only, with no outside observers or lobbyists. Funding is provided solely by grants from established foundations – no government, individual, foreign, corporate, or special interest money is accepted. The Network is supported by The Bill & Melinda Gates Foundation. The Aspen Education & Society Program maintains autonomy over invitations, materials, and the agenda for the retreat.

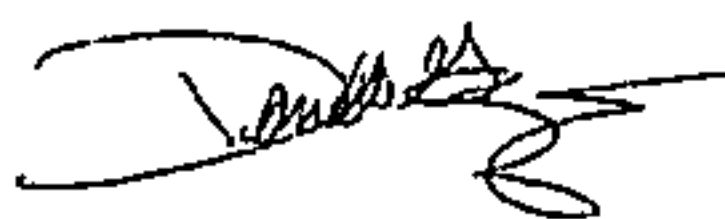
The retreat will begin at **12:00 PM on Tuesday, August 8, 2017**, at Wye River Conference Center and will conclude at **1:00 PM on Thursday, August 10, 2017**. Please plan your travel accordingly in order to be present for the duration of the retreat. Dress is casual for all meetings.

The retreat promises to be productive and informative. We look forward to seeing you there.

Warm regards,



Ross Wiener



Daniella Gonzales



Marisa Goldstein


THE ASPEN INSTITUTE
EDUCATION & SOCIETY PROGRAM

Ross E. Wiener
Program Executive Director
Aspen Institute Headquarters
P: 202-736-5817
F: 202-862-8526
Ross.Wiener@aspenninst.org

Danielle M. Gonzales
Assistant Director for Policy
Aspen Institute Headquarters
P: 202-736-3543
F: 202-862-8526
Danielle.Gonzales@aspenninst.org

Marisa E. Goldstein
Research and Policy Associate
Aspen Institute Headquarters
P: 202-721-2325
F: 202-862-8526
Marisa.Goldstein@aspenninst.org

Aspen Institute Headquarters

One Dupont Circle, NW

Suite 700

Washington, DC 20036-1133

PH 202-736-5800

FX 202-467-0790

www.aspeninstitute.org



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BILL & MELINDA
GATES *foundation*

PO Box 23350
Seattle WA 98102, USA
V 206 709 3100
F 206 709 3189
www.gatesfoundation.org

July 27, 2017

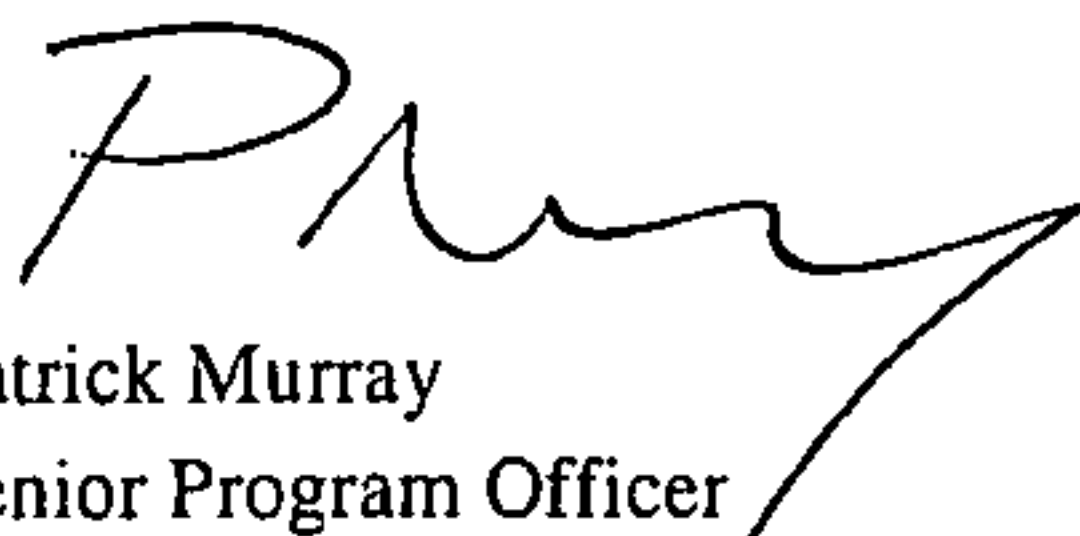
Select Committee on Ethics
United States Senate
220 Hart Senate Office Building
Washington, DC 20510

To Whom It May Concern:

This letter is submitted in response to your request for further information regarding a convening occurring August 8, 2017 to August 10, 2017 at the Aspen Institute's conference center in Wye, Maryland. The Bill & Melinda Gates Foundation is partially funding the convening through grant funding to support the Education & Society Program (of The Aspen Institute) and the Aspen Congressional Staff Network specifically.

The foundation is committed to creating greater opportunities for all Americans largely through the attainment of secondary and postsecondary education. By making college and other forms of education both accessible to and meaningful for all, we hope to help break the intergenerational cycle of poverty that prevents families and communities from opportunities to reach their full potential. This grant has been provided to support the general activities of the program. The foundation did not play a significant role in organizing or planning the conference, including, but not limited to the content (implementation of the Every Student Succeeds Act), agenda, speakers/experts, or other logistics, and has not been involved in the selection or invitation of participants. All decisions regarding the conference, including the congressional participants invited, were made solely by the Aspen Institute. Foundation funding has not been directly or indirectly earmarked to finance any aspect of this trip and, as defined in the grant agreement, grant funds, may not be earmarked for activities that are considered lobbying under the tax law provisions governing private foundations. Furthermore, the Bill & Melinda Gates Foundation does not retain or employ a registered federal lobbyist or foreign agent.

Regards,



Patrick Murray
Senior Program Officer
Bill & Melinda Gates Foundation

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Planning and Implementation of ESSA: Next Steps for States and Districts

August 8-10, 2017

SENATE CONGRESSIONAL STAFF

Matthew Stern
Majority Education Professional Staff
Senate Committee on Health, Education, Labor, and Pensions
Matthew_Stern@help.senate.gov

THE UNIVERSITY OF CHICAGO

The Senate Member, officer, or employee **MUST** also provide a copy of this form, along with the appropriate travel authorization and reimbursement form, to the Office of Public Records (OPR), Room 232 of the Hart Building, within thirty (30) days after the travel is completed.

- Private Sponsor Certification - Page 1 of 4

9. **USE ONLY IF YOU CHECKED QUESTION 6(B)**

I *certify* that if the sponsor or sponsors retain or employ one or more registered lobbyists or agents of a foreign principal, one of the following scenarios applies:

☐ (A) The trip is for attendance or participation in a one-day event (exclusive of travel time and one overnight stay) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip.

OR

☐ (B) The trip is for attendance or participation in a one-day event (exclusive of travel time and two overnight stays) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip (see questions 6 and 10).

OR

☐ (C) The trip is being sponsored only by an organization or organizations designated under § 501(c)(3) of the Internal Revenue Code of 1986 and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *at any point* throughout the trip.

10. **USE ONLY IF YOU CHECKED QUESTION 9(B)**

If the trip includes two overnight stays, please explain why the second night is practically required for Senate invitees to participate in the travel:

11. ☒ An itinerary for the trip is attached to this form. I *certify* that the attached itinerary is a detailed (hour-by-hour), complete, and final itinerary for the trip.

12. Briefly describe the role of each sponsor in organizing and conducting the trip:

The Aspen Institute is the sole sponsor of this retreat and is solely responsible for the development and execution of the convening. (see continued response)

13. Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to that mission:

The Aspen Institute is an educational and policy studies non-profit organization whose mission is to foster leadership based on enduring values and provide a non-partisan forum for the exchange of ideas.

(see continued response)

14. Briefly describe each sponsor's prior history of sponsoring congressional trips:

The Aspen Institute has a nearly forty year history of conducting non-partisan educational forums, which often include Members of Congress and staff. The E&S Program has been conducting convenings for Congressional education staff for eleven years.

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15. Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips):

The Aspen Institute holds numerous educational activities, including educational briefings, roundtables, forums, and conferences for a diverse range of attendees including federal and state policymakers, business and organizational leaders, members of the press and the general (see continued response)

16. Total Expenses for Each Participant:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses
<input checked="" type="checkbox"/> Good Faith estimate <input type="checkbox"/> Actual Amounts	\$63.45 for mileage	\$234.00 for two nights	\$172.50	\$191.26 conference room fees (includes meeting facilities, set up/take down, cleaning, meeting materials)

17. State whether a) the trip involves an event that is arranged or organized *without regard* to congressional participation or b) the trip involves an event that is arranged or organized *specifically with regard* to congressional participation:

B. The trip is to organized specifically with regard to Congressional staff participation in order to support their learning on how states are implementing ESSA (Every Student Succeeds Act).

18. Reason for selecting the location of the event or trip

The location is close to Washington, DC for easy staffer travel and allows faculty members (external experts brought in to support the retreat) to fly into DCA, Dulles or BWI and travel easily to the facility.

19. Name and location of hotel or other lodging facility:

Wye River Conference Center, 600 Aspen Drive, Queenstown, MD 21658

20. Reason(s) for selecting hotel or other lodging facility:

The conference center has sufficient meeting space and lodging to support off-the-record, non-partisan exchanges of ideas and professional learning. The Aspen Institute owns the Wye River Conference Center property.

21. Describe how the daily expenses for lodging, meals, and other expenses provided to trip participants compares to the maximum per diem rates for official Federal Government travel:

Rooms are \$117/day, which reflects the per diem limit.

Meals are \$69.00/day, which reflects the per diem limit.

22. Describe the type and class of transportation being provided. Indicate whether coach, business-class or first class transportation will be provided. If first-class fare is being provided, please explain why first-class travel is necessary:

Transportation is not provided; mileage will be reimbursed for participants' travel by personal car

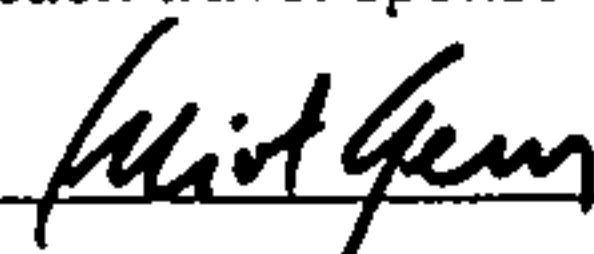
23. ☒ I represent that the travel expenses that will be paid for or reimbursed to Senate invitees do not include expenditures for recreational activities, alcohol, or entertainment (other than entertainment provided to all attendees as an integral part of the event, as permissible under Senate Rule 35).

24. List any entertainment that will be provided to, paid for, or reimbursed to Senate invitees and explain why the entertainment is an integral part of the event:

None

25. I hereby *certify* that the information contained herein is true, complete and correct. (You must include the completed signature block below for each travel sponsor.):

Signature of Travel Sponsor:



Name and Title: Elliot Gerson, Executive Vice President, Policy & Public Programs

Name of Organization: The Aspen Institute

Address: 1 Dupont Circle NW, Suite 700, Washington, DC. 20036

Telephone Number: 202-736-5859

Fax Number: 202-467-0790

E-mail Address: lisa.jones@aspeninst.org

Instructions
(Do not file the Instructions with OPR)

General Instructions

- The Senate Select Committee on Ethics (“Ethics Committee”) has developed guidelines for evaluating privately-sponsored trips and for judging whether trip expenses are reasonable. Trip sponsors should consult the *Senate Select Committee on Ethics’ Regulations and Guidelines for Privately-Sponsored Travel*, including the *Glossary of Terms*, prior to filling out the *Private Sponsor Travel Certification Form* and contact the Ethics Committee at (202) 224-2981 with any additional questions. The Ethics Committee will make the final determination as to whether the expenses incurred during a privately-sponsored trip are reasonable.
- If there are multiple sponsors, they should jointly complete one *Private Sponsor Travel Certification Form* for the trip. Each travel sponsor should complete the signature block.
- When evaluating a trip proposal and judging the reasonableness of expenses, the Ethics Committee will consider the following factors:
 - a. the stated mission of the organization sponsoring the trip;
 - b. the organization’s prior history of sponsoring congressional trips, if any;
 - c. other educational activities performed by the organization besides sponsoring congressional trips;
 - d. whether any trips previously sponsored by the organization led to an investigation by the Select Committee on Ethics;
 - e. whether the length of the trip and the itinerary is consistent with the official purpose of the trip;
 - f. whether there is an adequate connection between a trip and official duties;
 - g. the reasonableness of the total amount spent by a sponsor of the trip;
 - h. whether there is a direct and immediate relationship between a source of funding and an event;
 - i. the maximum *per diem* rates for official Federal Government travel published annually by the General Services Administration, the Department of State, and the Department of Defense;
 - j. whether travel to a location or event is arranged or organized without regard to congressional participation, or whether it is specifically organized for Congressional staff; and
 - k. any other factor deemed relevant by the Select Committee on Ethics.

Consult the *Senate Select Committee on Ethics’ Regulations and Guidelines for Privately-Sponsored Travel*, including the *Glossary of Terms*, for further discussion of these factors.

- Responses to each question should be brief, consistent with the requirement to provide all relevant information. Attach additional pages, as necessary.
- To allow sufficient time for the Ethics Committee to review requests for privately sponsored travel, the participating Senate Members, officers, and employees must submit the completed form to the Ethics Committee at least **thirty (30) days** before the date of the proposed trip.

Filling out the Private Sponsor Travel Certification Form (Question by Question Instructions)

1. *Sponsor(s) of the trip (please list all sponsors):* A sponsor of a trip is any person, organization, or other entity contributing funds or in-kind support for the trip. A sponsor must have a significant role in organizing and conducting a trip and must have a specific organizational interest in the purpose of the trip. If Members, officers, and employees are participating in an event or fact-finding trip in connection with their duties, they may accept necessary travel expenses only from the event or trip sponsor.
2. *Description of the trip:* Provide a brief statement about the purpose of the trip.
3. *Dates of travel:* Provide the dates of departure and return.
4. *Place of travel:* Provide the destination(s) for the trip.
5. *Name and titles of Senate invitees:* Provide the name and title for each Senate Member, officer, or employee who is invited on the trip.
6. *I certify that the trip fits one of the following categories:* A Senate Member, officer, or employee may accept privately sponsored travel only from sponsor(s) of a trip that fits one of the categories listed. Consult the instructions for question 9 to determine if the trip meets the lobbyist accompaniment standard.
7. *Financing of the trip, earmarked funds and in-kind contributions:* Senate Members, officers, and staff may not accept privately-sponsored travel funded by a registered lobbyist or foreign agent. Members, officers, and staff may not participate in privately-sponsored travel when the sponsors accept funds or in-kind contributions earmarked for this particular trip from a registered lobbyist or agent of a foreign principal or from a private entity that retains or employs one or more registered lobbyists or agents of a foreign principal. Earmarking includes any direction, agreement, or suggestion -- formal or informal -- to use donated funds, goods, services, or other in-kind contributions for a particular trip or purpose.
8. *Lobbyist/agent of a foreign principal involvement:* Senate invitees may not participate in trips planned, organized, arranged, or requested by a lobbyist or foreign agent in more than a *de minimis* way, which means negligible or inconsequential. It would be considered inconsequential for one or more lobbyists or foreign agents to serve on the board of an organization that is sponsoring travel, as long as the lobbyists or foreign agents are not involved in the trip. It is also permissible for a lobbyist to respond to a trip sponsor's request to identify Senate invitees with interest in a particular issue relevant to a planned trip. However, a lobbyist is not allowed to solicit or initiate communication with a trip sponsor, have control over which Senate employees are invited on a trip, extend or forward an invitation to a participant, determine the trip itinerary, or be mentioned in the invitation.

Example: A trip sponsor that is a § 501(c)(3) non-profit organization asks a lobbyist to recommend staffers who might be most interested in joining a trip to the U.S.-Mexican border. If a lobbyist knows a staffer who has a particular interest in the DEA's activities at the border, then providing that information (in light of the trip sponsor's request), in and of itself, would not exceed a *de minimis* level of participation, and would be permitted. However, it would not be permissible for the lobbyist to initiate contact with the trip sponsor to suggest that a particular Senate staffer be invited or forward an invitation to that staffer. Consult the instructions for question 9 to determine if the trip meets the lobbyist accompaniment standards.

9. *Lobbyist/agent of a foreign principal accompaniment standards:* Senate Members, officers, and staff may not accept privately-sponsored travel from an entity that retains or employs one or more federally-registered lobbyists or foreign agents unless one of the listed scenarios applies. *At any segment of the trip* means lobbyists may not accompany the Senate invitee for parts of the travel to and from the event (not at the event itself or the location being visited). *At any point throughout the trip* means lobbyists may not accompany Senate invitees at any point to and from the event, at the event itself, or at the location being visited, other than in a *de minimis* way. This is a broader prohibition than the *at any segment of a trip* standard.

"De minimis" exception: Both lobbyist/agent of a foreign principal "accompaniment" prohibitions include a *de minimis* exemption. *De minimis* means negligible or inconsequential. The mere coincidental presence of a lobbyist or foreign agent at an event would likely be considered *de minimis*. But in making the final determination, the Ethics Committee will consider the totality of the circumstances, including the amount of time lobbyists or foreign agents are present at the event; the amount of direct contact they have with Senate invitees; and the amount of control a trip sponsor has over their presence or contact with Senate guests. For example, if the trip includes attendance at an event considered widely-attended under Rule 35(1)(c)(18), the trip sponsor is unlikely to know all attendees present. Thus, it is likely to be permissible for such widely-attended events to include both a Senate guest and a lobbyist. Similarly, an organization cannot possibly know all the other passengers taking the same flight or other common carrier to a given destination. Accordingly, the sponsor does not need to certify that it knows for certain that no lobbyist or foreign agent will be on such a common carrier.

10. *If travel includes two overnight stays:* The Ethics Committee may approve two overnight stays for trips sponsored by an entity that employs or retains one or more lobbyists or foreign agents under certain conditions. Consult Committee regulations for additional information.
11. *An itinerary for the trip is attached to this form:* The Ethics Committee will not review the trip request without a detailed (hour-by-hour), complete and final itinerary for the trip. As a general matter, the Ethics Committee advises that each travel day contain a minimum of 6 hours of officially-related activities for Senate invitees.
12. *Briefly describe the role of each sponsor in organizing and conducting the trip:* A sponsor must have a significant role in organizing and conducting a trip and must have a specific organizational interest in the purpose of the trip.
13. *Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to that mission:* Provide a brief description of the stated mission of each sponsor and how it relates to the trip.
14. *Briefly describe each sponsor's prior history of sponsoring congressional trips:* Provide a brief discussion of the sponsor's history of sponsoring congressional travel. It is not necessary to list every trip.
15. *Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips):* Provide a brief description of the educational activities performed by each sponsor. It is not necessary to list every individual activity; the description may be by kind or category of educational activity involved.
16. *Total expenses for each participant:* Indicate whether the figures provided are actual amounts or good faith estimates by checking the appropriate box. All trip expenses should be included. Expenses other than those for transportation, lodging, and meals must be individually listed and specified. Attach additional pages as necessary.

17. *Congressional participation:* For events that are arranged without regard to congressional participation (for example, annual meetings, conferences, seminars, and symposiums of trade associations, professional societies, business associations, and other membership organizations), the Ethics Committee may, but is not required to, allow Senate Members, officers, and employees to accept lodging and meal expenses that are commensurate with what is customarily provided to non-congressional attendees in similar circumstances. For events specifically arranged around congressional participation, lodging, meal expenses and other expenses must be "reasonable" in accordance with Ethics Committee regulations.
18. *Reason for selecting the location of the event or trip:* The location of the trip *must be related to its purpose*. A brief but detailed description of the reason for the selection of the location must be provided.
19. *Name and location of hotel or other lodging facility:* Include the exact name and address of the hotel or other lodging facility.
20. *Reasons for selecting hotel or other lodging facility:* Provide an explanation of the sponsor's rationale for selecting the particular lodging, include information such as proximity to the airport or site to be visited.
21. *Describe how the daily expenses for lodging, meals, and other expenses provided to trip participant compare to the maximum per diem rates for official Federal Government travel:* Where feasible and available, trip expenses for lodging and meals should generally be comparable to the government *per diem* rates. The circumstances surrounding a particular trip may legitimately require lodging and meal expenses to exceed these rates. Consult the Ethics Committee regulations for additional information.
22. *Describe the type and class of transportation being provided:* While coach or business-class fare may be accepted, first-class fare for any mode of transportation may be permitted only under limited conditions and only with specific prior written approval by the Ethics Committee. Transportation on a private or charter aircraft is not permitted for privately-sponsored travel under any circumstances.
23. *Expenses for recreational activity, alcohol, or entertainment:* The only recreational or entertainment activities that will be approved by the Ethics Committee are those that are provided to all attendees and are an integral part of an event. Alcoholic beverages are not considered to be a reasonable expense.
24. *List any entertainment that will be provided to, paid for or reimbursed to Senate invitees and explain why the entertainment is an integral part of the event:* Entertainment expenses that are not provided to all attendees and deemed an integral part of the event will not be approved by the Ethics Committee.
25. *Certification:* Each sponsor of a trip should sign the form and certify that the information is complete and correct. Attach additional pages with the certification and signature block, as necessary, for each trip sponsor.

Appendix to Private Sponsor Travel Certification Form

Aspen Institute Senior Congressional Education Staff Network Retreat, August 8-10, 2017

Question 2. Description of the Trip (response continued) – Aspen Institute-sponsored convening for senior Congressional education staffers on planning and implementation of the Every Student Succeeds Act (ESSA) and next steps for states and districts.

Question 12. Briefly describe the role of each sponsor in organizing and conducting the trip (response continued) – The organization received grant funding from the Bill & Melinda Gates Foundation to support the Education & Society Program and the Aspen Congressional Staff Network specifically, including providing educational activities such as this convening at the Aspen Institute's conference center in Wye, Maryland. The Foundation did not play a role in organizing or planning the conference, including, but not limited to the content (ESSA), agenda, speakers/experts, attendees or other logistics.

Questions 13. Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to the mission (response continued) – The E&S Program seeks to provide a neutral forum to aid education policymakers in their efforts to improve K-12 public education. The purpose of the trip is to conduct a non-partisan educational retreat that encourages off-the-record, candid exchanges of ideas to support staffers' learning.

Question 15. Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips) (response continued) – The Aspen Institute holds numerous educational activities, including educational briefings, roundtables, forums and conferences for a diverse range of attendees including federal and state policymakers, business and organizational leaders, members of the press and the general public. The E&S Program works with federal, state and local education leaders to improve K-12 student achievement, particularly for underserved students.

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EMPLOYEE PRE-TRAVEL AUTHORIZATION

Date/Time Stamp:

ETHIC JUL18'17PM12:29

Pre-Travel Filing Instructions: Complete and submit this form at least 30 days prior to the travel departure date to the **Select Committee on Ethics in SH-220**. Incomplete and late travel submissions will not be considered or approved. This form must be typed and is available as a fillable PDF on the Committee's website at ethics.senate.gov. Retain a copy of your entire pre-travel submission for your required post-travel disclosure.

Name of Traveler: Jennifer Hatfield

Employing Office/Committee: Senator Alexander / Senate HELP

Private Sponsor(s) (list all): The Aspen Institute (Education & Society Program)

Travel date(s): August 8-10, 2017

Note: If you plan to extend the trip for any reason you must notify the Committee.

Destination(s): Wye River Conference Center 600 Aspen Drive Queenstown, MD 21658

Explain how this trip is specifically connected to the traveler's official or representational duties:

The Aspen Institute Education & Society Program seeks to improve K-12 education through its work with federal, state and local leaders. Attending its program this August will give me training and insight into state implementation of the Every Student Succeeds Act that will be useful in my role as an education research assistant.

Name of accompanying family member (if any): _____

Relationship to Employee: ☐ Spouse ☐ Child

I certify that the information contained in this form is true, complete and correct to the best of my knowledge:

7/10/17
(Date)

Jennifer Hatfield
(Signature of Employee)

TO BE COMPLETED BY SUPERVISING SENATOR/OFFICER (President of the Senate, Secretary of the Senate, Sergeant at Arms, Secretary for the Majority, Secretary for the Minority, and Chaplain):

I, Senator Lamar Alexander hereby authorize Jennifer Hatfield
(Print Senator's/Officer's Name) (Print Traveler's Name)

an employee under my direct supervision, to accept payment or reimbursement for necessary transportation, lodging, and related expenses for travel to the event described above. I have determined that this travel is in connection with his or her duties as a Senate employee or an officeholder, and will not create the appearance that he or she is using public office for private gain.

I have also determined that the attendance of the employee's spouse or child is appropriate to assist in the representation of the Senate. (signify "yes" by checking box) ☐

7/10/17
(Date)

Lamar Alexander
(Signature of Supervising Senator/Officer)



Ross E. Wiener
Program Executive Director
Aspen Institute Headquarters
P: 202-736-5817
F: 202-862-8526
Ross.Wiener@aspenninst.org

Danielle M. Gonzales
Assistant Director for Policy
Aspen Institute Headquarters
P: 202-736-3543
F: 202-862-8526
Danielle.Gonzales@aspenninst.org

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Aspen Institute Headquarters

One Dupont Circle, NW

Suite 700

Washington, DC 20036-1133

PH 202-736-5800

FX 202-467-0790

www.aspeninstitute.org



June 26, 2017

Dear Senate Colleague,

We are writing to invite you to participate in an upcoming retreat – ***“Planning and Implementation of ESSA: Next Steps for States and Districts”*** – for the Aspen Senior Congressional Education Staff Network from 12:00 PM Tuesday, August 8, 2017 to 1:00 PM Thursday, August 10, 2017 at Wye River Conference Center, located 59 miles from Washington, DC.

At this convening, staffers will hear from state and district leaders on early implementation lessons of the Every Student Succeeds Act. Staffers will understand how states are creating and implementing their ESSA plans, including their theories of action around the design of their accountability systems, their approaches to school improvement, and the development of the indicator on English learners. The convening will also focus on potential roles for Congress and the U.S. Department of Education in monitoring and guidance around ESSA implementation. Finally, the retreat will provide an opportunity for staffers to engage in their own learning and build working relationships with colleagues from different parties and chambers and with leading experts in the field.

We fully comply with the rules that have been enacted by the Senate regarding privately-funded travel. Enclosed you will find all the forms necessary for Ethics rules compliance:

- A detailed agenda listing discussion sessions
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- A blank Employee Pre-Travel Authorization form

You must complete the Employee Pre-Travel Authorization Form and submit it with the enclosed agenda, list of invited staffers, and Private Sponsor Travel Certification form directly to the Senate Ethics Committee (220 Hart) no later than Monday, July 10, 2017. After receiving the completed travel package, the Ethics Committee will review and issue an approval to you or your sponsoring Member. After the trip, you will need to complete a post-travel form that we will email to you after the retreat.

Attendance is by invitation only, with no outside observers or lobbyists. Funding is provided solely by grants from established foundations – no government, individual, foreign, corporate, or special interest money is accepted. The Network is supported by The Bill & Melinda Gates Foundation. The Aspen Education & Society Program maintains autonomy over invitations, materials, and the agenda for the retreat.

The retreat will begin at 12:00 PM on Tuesday, August 8, 2017, at Wye River Conference Center and will conclude at 1:00 PM on Thursday, August 10, 2017. Please plan your travel accordingly in order to be present for the duration of the retreat. Dress is casual for all meetings.

The retreat promises to be productive and informative. We look forward to seeing you there.

Warm regards,

Ross Wiener

Daniella Gonzales

Marisa Goldstein

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What are the potential implications of future leadership changes (i.e., gubernatorial elections, state chief turnover) on ESSA implementation?

3:45 – 5:00 PM **Session II: Designing and Implementing Accountability Systems that Support School Improvement**

How are states and district planning to move from identifying schools for improvement under the accountability system to improving outcomes for students?

6:30 PM Networking Reception with Expert Faculty

7:00 – 8:30 PM Dinner with Discussion of Earlier Sessions

8:30 – 10:15 AM Session III: Assessing English Learners' Progress

Where are SEAs and LEAs receiving resources and tools to support ELs? What supports are needed?

10:35 AM – 12:00 PM Session IV: Next Steps for School Improvement

What are SEAs' and LEAs' theories of action around school improvement under ESSA? How does this affect their roles and responsibilities?

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Lunch

Session V: Deep Dive into State Plans

Guiding Questions:

What is not captured in the plan that you would want to know about, or think ED should monitor?

Break

Session VI: Challenges and Opportunities on the Horizon

As states and districts begin implementing their plans, what issues do they need to prepare for (i.e., building internal capacity, identifying resources, navigating state and local politics)? How can previous experiences inform their approaches? What supports will states and districts need to navigate these challenges or take advantage of these opportunities?

Are states incorporating school choice in their ESSA plans and implementation?

What role does ED play in incentivizing states to incorporate school choice?

Networking Reception with Expert Faculty

Dinner with Discussion of Earlier Sessions

Breakfast

Staff reflections and feedback to guide remaining discussion

Session VII: Oversight and Monitoring of Plan Implementation

What are the most important roles for ED? How is this changing over time? Are there things states and districts expect from ED that they are or are not getting? Are there aspects of the working relationship between ED, states, and districts that can be improved?

What would effective monitoring of ESSA implementation look like? In the past, what has been most helpful for states and districts? Least helpful?
What does this suggest for the specific roles Congress and the U.S. Department of Education should play? How can the Department of Education support states and districts outside of formal oversight and monitoring (i.e., resources, tools, networks)?
What should ED and Congress not do? What about past oversight and monitoring needs to change to ensure successful implementation of ESSA?
How can ED ensure compliance with the law, but move states beyond a compliance mindset?

10:30 – 10:45 AM	Break
10:45 – 11:00 AM	Complete Retreat Evaluation
11:00 – 11:30 AM	Final Observations from Expert Faculty
11:30 – 12:00 PM	Taking Stock: Staff Reflections and Feedback to Guide Next Steps for the Network
12:00 – 1:00 PM	Lunch and Adjourn

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Aspen Senior Congressional Education Staff Network CONGRESSIONAL STAFF

Amanda Beaumont

Minority Senior Education Counsel
Senate Committee on Health, Education, Labor, and
Pensions
P: 202-224-5501
Amanda.Beaumont@help.senate.gov

Jennifer Cama

Majority Professional Staff Member
House Appropriations Subcommittee on Labor,
Health and Human Services, and Education
P: 202-225-3508
Jennifer.Cama@mail.house.gov

Jacque Chevalier

Minority Deputy Education Policy Director
House Committee on Education and the Workforce
P: 202-226-2068
Jacque.Chevalier@mail.house.gov

Jake Cornett

Minority Senior Advisor
Senate Committee on Health, Education, Labor, and
Pensions
Jake.Cornett@help.senate.gov

Denise Forte

Minority Staff Director
House Committee on Education and the Workforce
Denise.Forte@mail.house.gov

Laura Friedel

Majority Clerk
Senate Appropriations Subcommittee on Labor,
Health and Human Services, and Education
P: 202-224-0314
Laura.Friedel@appro.senate.gov

Mike Gentile

Majority Professional Staff Member
Senate Appropriations Subcommittee on Labor,
Health and Human Services, and Education
Mike.Gentile@appro.senate.gov

Jordan Hynes

Majority Professional Staff Member
Senate Committee on Health, Education, Labor, and
Pensions
jordan_hynes@help.senate.gov

Amy Jones

Majority Director of Education and Human Services
Policy
House Committee on Education and the Workforce
P: 202-225-6558
Amy.Jones@mail.house.gov

Alex Keenan

Minority Clerk
Senate Appropriations Subcommittee on Labor,
Health and Human Services, and Education
Alex_Keenan@appro.senate.gov

Allie Kimmel

Minority Education Policy Advisor
Senate Committee on Health, Education, Labor, and
Pensions
Allie_Kimmel@help.senate.gov

Kimberly Knackstedt

Minority Disability Policy Advisory
House Committee on Education and the Workforce
Kimberly.Knackstedt@mail.house.gov

Mark Laisch

Minority Professional Staff Member
Senate Appropriations Subcommittee on Labor,
Health and Human Services, and Education
P: 202-224-7230
Mark_Laisch@appro.senate.gov

Kara Marchione

Minority Education Policy Director
Senate Committee on Health, Education, Labor, and
Pensions
Kara_Marchione@help.senate.gov

Bryce McKibben

Minority Professional Staff Member
Senate Committee on Health, Education, Labor, and
Pensions
Bryce_McKibben@help.senate.gov

Lisa Molyneux

Minority Professional Staff
House Appropriations Subcommittee on Labor,
Health and Human Services, and Education
Lisa.Molyneux@mail.house.gov

Bob Moran

Majority Deputy Education Policy Director
Senate Committee on Health, Education, Labor, and
Pensions
Robert_Moran@help.senate.gov

Peter Oppenheim

Majority Education Policy Director and Counsel
Senate Committee on Health, Education, Labor, and
Pensions
Peter_Oppenheim@help.senate.gov

Alex Payne

Minority Education Policy Counsel
House Committee on Education and the Workforce
Alex.Payne@mail.house.gov

Veronique Pluviose

Minority Civil Rights Counsel
House Committee on Education and the Workforce
Veronique.Pluviose@mail.house.gov

Evan Schatz

Minority Staff Director
Senate Committee on Health, Education, Labor, and
Pensions
Evan_Schatz@help.senate.gov

Mandy Schaumburg

Majority Education Deputy Director and Senior
Counsel
House Committee on Education and the Workforce
P: 202-225-6558
Mandy.Schaumburg@mail.house.gov

Matthew Stern

Majority Professional Staff
Senate Committee on Health, Education, Labor, and
Pensions
Matthew_Stern@help.senate.gov

Leslie Tatum

Majority Professional Staff Member
House Committee on Education and the Workforce
Leslie.Tatum@mail.house.gov

Brad Thomas

Majority Senior Education Policy Advisor
House Committee on Education and the Workforce
P: 202-225-6558
Brad.Thomas@mail.house.gov

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PRIVATE SPONSOR TRAVEL CERTIFICATION FORM

This form must be completed by any private entity offering to provide travel or reimbursement for travel to Senate Members, officers, or employees (Senate Rule 35, clause 2). Each sponsor of a fact-finding trip must sign the completed form. The trip sponsor(s) must provide a copy of the completed form to each invited Senate traveler, who will then forward it to the Ethics Committee with any other required materials. The trip sponsor(s) should **NOT** submit the form directly to the Ethics Committee. Please consult the accompanying instructions for more detailed definitions and other key information.

The Senate Member, officer, or employee **MUST** also provide a copy of this form, along with the appropriate travel authorization and reimbursement form, to the Office of Public Records (OPR), Room 232 of the Hart Building, within thirty (30) days after the travel is completed.

1. Sponsor(s) of the trip (please list all sponsors):
The Aspen Institute (Education & Society Program - E&S Program)
2. Description of the trip: Aspen Institute-sponsored convening for senior Congressional education staffers on planning and implementation of ESSA and next steps for states and districts.
3. Dates of travel: August 8-10, 2017
4. Place of travel: Queenstown, MD
5. Name and title of Senate invitees: Please see attached roster
6. I *certify* that the trip fits one of the following categories:
☒ (A) The sponsor(s) are not registered lobbyists or agents of a foreign principal and do not retain or employ registered lobbyists or agents of a foreign principal and no lobbyist or agents of a foreign principal will accompany the Member, officer, or employee *at any point* throughout the trip.
~~OR~~
☐ (B) The sponsor or sponsors are not registered lobbyists or agents of a foreign principal, but retain or employ one or more registered lobbyists or agents of a foreign principal and the trip meets the requirements of Senate Rule 35.2(a)(2)(A)(i) or (ii) (*see question 9*).
7. ☒ I *certify* that the trip will not be financed in any part by a registered lobbyist or agent of a foreign principal.
~~AND~~
☒ I *certify* that the sponsor or sponsors will not accept funds or in-kind contributions earmarked directly or indirectly for the purpose of financing this specific trip from a registered lobbyist or agent of a foreign principal or from a private entity that retains or employs one or more registered lobbyists or agents of a foreign principal.
8. I *certify* that:
☒ The trip will not in any part be planned, organized, requested, or arranged by a registered lobbyist or agent of a foreign principal except for *de minimis* lobbyist involvement.
~~AND~~
☒ The traveler will not be accompanied on the trip by a registered lobbyist or agent of a foreign principal except as provided for by Committee regulations relating to lobbyist accompaniment (*see question 9*).

9. **USE ONLY IF YOU CHECKED QUESTION 6(B)**

I *certify* that if the sponsor or sponsors retain or employ one or more registered lobbyists or agents of a foreign principal, one of the following scenarios applies:

☐ (A) The trip is for attendance or participation in a one-day event (exclusive of travel time and one overnight stay) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip.

~~FOR~~

☐ (B) The trip is for attendance or participation in a one-day event (exclusive of travel time and two overnight stays) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip (*see questions 6 and 10*).

~~FOR~~

☐ (C) The trip is being sponsored only by an organization or organizations designated under § 501(c)(3) of the Internal Revenue Code of 1986 and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *at any point* throughout the trip.

10. **USE ONLY IF YOU CHECKED QUESTION 9(B)**

If the trip includes two overnight stays, please explain why the second night is practically required for Senate invitees to participate in the travel:

11. ☒ An itinerary for the trip is attached to this form. I *certify* that the attached itinerary is a detailed (hour-by-hour), complete, and final itinerary for the trip.

12. Briefly describe the role of each sponsor in organizing and conducting the trip:

The Aspen Institute Education & Society Program facilitates the Aspen Senior Congressional Education Staff Network and organizes convenings to support staffers' professional learning. The Aspen Education & Society Program staff are completely and solely responsible for the retreat's planning and organization.

13. Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to that mission:

The Aspen Institute is an educational and policy studies non-profit organization whose mission is to foster leadership based on enduring values and provide a non-partisan forum for the exchange of ideas. The E&S Program seeks to provide a neutral forum to aid education policymakers (see continued response)

14. Briefly describe each sponsor's prior history of sponsoring congressional trips:

The Aspen Institute has a nearly forty year history of conducting non-partisan educational forums, which often include Members of Congress and staff. The E&S Program has been conducting convenings for Congressional education staff for eleven years.

15. Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips):

The Aspen Institute holds numerous educational activities, including educational briefings, roundtables, forums, and conferences. The E&S Program works with federal, state and local education leaders to improve K-12 student achievement, particularly for traditionally underserved students.

16. Total Expenses for Each Participant:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses
<input checked="" type="checkbox"/> Good Faith estimate <input type="checkbox"/> Actual Amounts	63.45	\$234.00	\$172.50	\$191.26 (mtg room and incidentals)

17. State whether a) the trip involves an event that is arranged or organized *without regard* to congressional participation or b) the trip involves an event that is arranged or organized *specifically with regard* to congressional participation:

B. The trip is to organized specifically with regard to Congressional staff participation in order to support their learning on how states are implementing ESSA (Every Student Succeeds Act).

18. Reason for selecting the location of the event or trip

The location is close to Washington, DC for easy staffer travel and allows faculty members (external experts brought in to support the retreat) to fly into DCA, Dulles or BWI and travel easily to the facility.

19. Name and location of hotel or other lodging facility:

Wye River Conference Center, 600 Aspen Drive, Queenstown, MD 21658

20. Reason(s) for selecting hotel or other lodging facility:

The conference center has sufficient meeting space and lodging to support off-the-record, non-partisan exchanges of ideas and professional learning. The Aspen Institute owns the Wye River Conference Center property.

21. Describe how the daily expenses for lodging, meals, and other expenses provided to trip participants compares to the maximum per diem rates for official Federal Government travel:

Rooms are \$117/day, which reflects the per diem limit.

Meals are \$69.00/day, which reflects the per diem limit.

22. Describe the type and class of transportation being provided. Indicate whether coach, business-class or first class transportation will be provided. If first-class fare is being provided, please explain why first-class travel is necessary:

Transportation is not provided; mileage will be reimbursed for participants' travel by personal car

23. ☒ I represent that the travel expenses that will be paid for or reimbursed to Senate invitees do not include expenditures for recreational activities, alcohol, or entertainment (other than entertainment provided to all attendees as an integral part of the event, as permissible under Senate Rule 35).

24. List any entertainment that will be provided to, paid for, or reimbursed to Senate invitees and explain why the entertainment is an integral part of the event:

25. I hereby *certify* that the information contained herein is true, complete and correct. (You must include the completed signature block below for each travel sponsor.):

Signature of Travel Sponsor: 

Name and Title: Elliot Gerson, Executive Vice President, Policy & Public Programs

Name of Organization: The Aspen Institute

Address: 1 Dupont Circle NW, Suite 700, Washington, DC. 20036

Telephone Number: 202-736-5859

Fax Number: 202-467-0790

E-mail Address: lisa.jones@aspeninst.org

Appendix to Private Sponsor Travel Certification Form

Aspen Institute Senior Congressional Education Staff Network Retreat, August 8-10, 2017

Question 1. Sponsor(s) of the trip (please list all sponsors) – The Aspen Institute is the sole sponsor of this retreat. The organization has received grant funding from the Bill & Melinda Gates Foundation to support the Network but the Institute is solely responsible for the development and execution of the convening.

Questions 13. Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to the mission (Response continued) – The E&S Program seeks to provide a neutral forum to aid education policymakers in their efforts to improve K-12 public education. The purpose of the trip is to conduct a non-partisan educational retreat that encourages off-the-record, candid exchanges of ideas to support staffers' learning.

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